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JCS U.S. PTO

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PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 80398.P416

(maximum 12 characters)

First Named Inventor Harold Aaron Ludtke

Title: A SECURE AND CONVENIENT METHOD AND APPARATUS FOR STORING AND TRANSMITTING TELEPHONY-BASED DATA

Express Mail Label No. EL 617 210 279 US

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, D. C. 20231

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original, and a duplicate for fee processing)
2. Applicant Claims Small Entity Status. (37 CFR 1.27)
3. Specification (Total Pages 82)
(preferred arrangement set forth below)
 - Descriptive Title of the Invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference sequence listing, a table,
or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. Drawings(s) (35 USC 113) (Total Sheets 31)
5. Oath or Declaration (Total Pages 5)
 - a. Newly Executed (Original or Copy)
 - b. Copy from a Prior Application (37 CFR 1.63(d))
(for Continuation/Divisional with Box 17 completed)
 - i. DELETIONS OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
 - c. Unsigned.
6. Application Data Sheet. (37 CFR 1.76)
7. CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
 - a. Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. CD-ROM or CD-R (2 copies); or
 - ii. paper
 - c. Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. **Assignment Papers (cover sheet & documents(s))**
10. a. Separate 37 CFR 3.73(b) Statement (where there is an assignee)
 b. Power of Attorney
11. English Translation Document (if applicable)
12. a. Information Disclosure Statement (IDS)/PTO-1449
 b. Copies of IDS Citations
13. **Preliminary Amendment**
14. **Return Receipt Postcard (MPEP 503) (Should be specifically itemized)**
15. Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. **Request and Certification under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.**
17. Other: Copy of postcard and Certificate of Express Mailing pursuant to CFR §1.10.

18A. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:

Continuation Divisional Continuation-in-part (CIP)
Of Prior Application No.: _____ Examiner _____ Group Art Unit _____

(which is a continuation/ divisional/ CIP of prior application no. _____,
which is a continuation/ divisional/ CIP of prior application no. _____) (List entire chain of priority)

For CONTINUATION AND DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18B. Statement under 37 CFR 3.73(b) for continuing application:

The undersigned states that _____ (name of assignee) is
the assignee of the entire right, title, and interest in the accompanying patent application by virtue of an
assignment recorded in the Patent and Trademark Office at Reel. No. _____ Frame No. _____
(or a copy of which is attached).

19. Correspondence Address

Customer Number or Bar Code Label _____
 or _____ (Insert Customer No. or Attach Bar Code Label here)
 Correspondence Address Below

NAME Jeffrey S. Smith

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

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Seventh Floor

CITY Los Angeles STATE California ZIP CODE 90025-1026

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Name (PRINT/TYPE): Jeffrey S. Smith Registration No.: 39,377

Signature: J. S. Smith Date: Dec 11, 2000

EXPRESS MAIL CERTIFICATE OF MAILING

"Express Mail" mailing label number: EL 617 210 279 US

Date of Deposit: December 11, 2000

I hereby certify that I am causing this paper or fee to be deposited with the United States Postal Service "Express Mail Post Office to Addressee" service on the date indicated above and that this paper or fee has been addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231

Tina Domingo

(Typed or printed name of person mailing paper or fee)

(Signature of person mailing paper or fee)

(Date signed)

Serial/Patent No.: * * Filing/Issue Date: Herewith

Client: Sony Electronics, Inc.

Title: A Secure and Convenient Method and Apparatus For Storing And Transmitting Telephony-Based Data

BSTZ File No.: 80398.P416 Atty/Secty Initials: MES/JSS/AEH/td

Date Mailed: 12-11-2000 Docket Due Date: * *

The following has been received in the U.S. Patent & Trademark Office on the date stamped hereon:

Amendment/Response (____ pgs.) Express Mail No EL617210279USXX Check No 39429
 Appeal Brief (____ pgs) (in triplicate) Month(s) Extension of Time Amt: \$1,146.00
 Application - Utility (82 pgs, with cover and abstract) Information Disclosure Statement & PTO-149 (____ pgs.) Check No _____
 Application - Rule 1.53(b) Continuation (____ pgs) Issue Fee Transmittal
 Application - Rule 1.53(b) Divisional (____ pgs) Notice of Appeal
 Application - Rule 1.53(b) CIP (____ pgs) Petition for Extension of Time
 Application - Rule 1.53(d) CPA Transmittal (____ pgs) Petition for _____
 Application - Design (____ pgs) Postcard
 Application - PCT (____ pgs) Power of Attorney (____ pgs.)
 Application - Provisional (____ pgs) Preliminary Amendment (____ pgs)
 Assignment and Cover Sheet Reply Brief (____ pgs.)
 Certificate of Mailing (Express Mail) Response to Notice of Missing Parts
 Declaration & POA (5 pgs) (Unexecuted) Small Entity Declaration for Indep. Inventor/Small Business
 Disclosure Docs & Org & Copy of Inventor's Sgnd Letter (____ pgs) Transmittal Letter, in duplicate (4 pages)
 Drawings 31 # of sheets includes 37 figures Fee Transmittal, in duplicate
 Other: _____

FEE TRANSMITTAL FOR FY 2001**TOTAL AMOUNT OF PAYMENT (\$)** \$1,164.00**Complete if Known:**Application No. Not AssignedFiling Date December 11, 2000 (Concurrently Herewith)First Named Inventor Harold Aaron LutkeGroup Art Unit Not AssignedExaminer Name Not AssignedAttorney Docket No. 80398.P416

1C053 U.S. PTO
 09/744839
 12/11/00


METHOD OF PAYMENT (check one)

1. The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number 02-2666

Deposit Account Name _____

 Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 Applicant claims small entity status. See 37 CFR 1.27

2. Payment Enclosed: Check
 Credit Card
 Money Order
 Other

FEE CALCULATION**1. BASIC FILING FEE**

<u>Large Entity</u>	<u>Small Entity</u>	<u>Fee Description</u>	<u>Fee Paid</u>
Fee Code	Fee (\$)	Fee Code (\$)	
101	710	201	Utility application filing fee
106	320	206	Design application filing fee
107	490	207	Plant filing fee
108	710	208	Reissue filing fee
114	150	214	Provisional application filing fee
			SUBTOTAL (1) \$ 710.00

2. EXTRA CLAIM FEES

	<u>Extra Claims</u>	<u>Fee from below</u>	<u>Fee Paid</u>
Total Claims 23	- 20** = 3	X 18.00	= 54.00
Independent Claims 8	- 3** = 5	X 80.00	= 400.00
Multiple Dependent			=

**Or number previously paid, if greater; For Reissues, see below.

<u>Large Entity</u>	<u>Small Entity</u>	<u>Fee Description</u>
Fee Code	Fee (\$)	
103	18	203 9 Claims in excess of 20
102	80	202 40 Independent claims in excess of 3
104	270	204 135 Multiple dependent claim, if not paid
109	80	209 40 **Reissue independent claims over original patent
110	18	210 9 **Reissue claims in excess of 20 and over original patent
		SUBTOTAL (2) \$ 454.00

FEE CALCULATION (continued)

3. ADDITIONAL FEES

<u>Large Entity</u>	<u>Small Entity</u>	<u>Fee Description</u>	<u>Fee Paid</u>
Fee Code	Fee (\$)	Fee Code	Fee (\$)
105	130	205	65
127	50	227	25
139	130	139	130
147	2,520	147	2,520
112	920*	112	920*
113	1,840*	113	1,840*
115	110	215	55
116	390	216	195
117	890	217	445
118	1,390	218	695
128	1,890	228	945
119	310	219	155
120	310	220	155
121	270	221	135
138	1,510	138	1,510
140	110	240	55
141	1,240	241	620
142	1,240	242	620
143	440	243	220
144	600	244	300
122	130	122	130
123	130	123	130
126	180	126	180
581	40	581	40
146	710	246	355
149	710	249	355
179	710	279	355
169	900	169	900
Other fee (specify)			
Other fee (specify)			

SUBTOTAL (3) \$ 0.00

*Reduced by Basic Filing Fee Paid

SUBMITTED BY:

Typed or Printed Name: Jeffrey S. Smith

Signature: J.S. Smith Date: Dec 11, 2000

Reg. Number: 39,377 Telephone Number: 408-720-8300

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.